

Alabama Board of Optometry



Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
April 26, 2001**

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Functional and Organizational Analysis of the Alabama Board of Optometry

Sources of Information

- Representatives of the Alabama Board of Optometry:
 - Dr. Robert P. Pharr, O.D., Executive Officer
 - Dr. Bill Sullins, O.D., President
 - Dr. Leroy Maxwell, O.D., Vice President
 - Dr. Fred Wallace, O.D., Secretary-Treasurer
- Code of Alabama 1975 § 34-22-1 through § 34-22-65
- Code of Alabama 1975 § 41-20-1 through § 41-20-16 (Sunset Law)
- Code of Alabama 1975 § 41-22-1 through § 41-22-27 (Administrative Procedures Act)
- Alabama Administrative Code Chapters 630-X-1 through 630-X-13
- Alabama Government Manual (1998)
- Alabama Board of Optometry Annual Report (1996-1998)
- Alabama Board of Optometry Newsletter (1999)
- Government Records Division, State Agency Files (1989-ongoing)

Historical Context

In 1919, the legislature created the State Board of Optometry to regulate the practice of optometry in Alabama (Acts of Alabama 1919, No. 521, Section 1-2). The board consisted of five members appointed by the governor. The board was legally authorized to make by-laws and all necessary regulations for the proper performance of its duties and to set standards regarding morals, education, experience, qualifications, and fitness for all persons who desired to practice optometry within the State of Alabama. The board was also legally authorized to assist in the prosecution of violations of the originating act, to make annual reports to the governor, and appoint/employ all personnel deemed necessary to conduct the board's legally mandated duties and functions (Acts of Alabama 1919, No. 521, Section 3). In 1975, the State Board of Optometry was abolished and was subsequently replaced by the Alabama Board of Optometry (Acts of Alabama 1975, No. 1148, Section 1-5). All the duties of the previously authorized board remained the same. In addition, several new functions were added such as: conducting examinations for licenses, prescribing rules and regulations for the examinations, instituting hearings for charges against licensed optometrists, and granting or denying licenses (Acts of Alabama 1975, No. 1148, Section 1-5).

Agency Organization

The Alabama Board of Optometry is composed of seven members who serve staggered terms of five years. Each member is appointed by the governor from a list of names of five qualified persons certified by the board. Each member must have been licensed to practice optometry for at least five years. Members elect a president, a vice president, and a secretary-treasurer. The board meets at least once a year to conduct business. A simple majority constitutes a quorum.

The board appoints an executive officer who is responsible for the administration of the agency in accordance with the directives of the board. Other staff members are hired as needed. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the Alabama Board of Optometry is to provide for the regulation and licensure of the practice of optometry in Alabama. The board conducts examinations to ascertain qualifications of applicants for licenses, prescribes rules for conducting examinations, institutes and/or hears charges against licensed optometrists, formulates rules for the accreditation of optometry schools, establishes continuing education requirements, and maintains a register of optometrists. The board is one of the agencies primarily involved in carrying out the Regulatory function of Alabama government.

In the performance of its mandated function, the board may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Code of Alabama 1975 § 34-22-42 authorizes the board to adopt and revise rules and regulations necessary to implement the Optometry Practices Act. This subfunction encompasses activities pertaining to the development of rules and regulations, procedures for licensure, establishes optometry educational program requirements, and other official policies needed by the board for carrying out its duties and responsibilities.
- **Licensing.** The Code of Alabama 1975 § 34-22-20 through § 34-22-22 authorizes the board to screen and examine applicants for licensure as a licensed optometrist and/or pharmaceutical agent in the state. Optometrists must be licensed to disburse any form of medication. Each applicant must graduate from an accredited high school, be at least 19 years of age, be of good moral character, have a minimum of three years of pre-optometry at an accredited college or university, have completed a course of study in an accredited school of college of optometry which is approved by the board and that requires at least four years of professional study, and have passed all examinations prescribed by the board. Upon passing the standard examination, the applicant submits to the board proof that he or she has passed all additional state examinations required by the board. The applicant also submits any protocols for the use of pharmaceutical agents that the board may require. When these requirements have been met by the applicant and approved by the board, the board grants a license to the applicant. In addition, the board issues temporary licenses for practice to applicants who have fulfilled all prerequisites and are scheduled to take the standard examination. These temporary licenses are valid for only three months and are available only to those applicants who have never practiced optometry in any state in the United States. Those applicants taking the examination under reciprocity or for use as pharmaceutical agents are not eligible for a temporary license.

All licensees must renew their respective licenses annually and complete the required continuing education contact hours prior to the renewals. The number of hours required

may vary and is determined by the board. Licensees must also pay annual renewal fees. Those licensed as pharmaceutical agents must pay additional annual renewal fees.

- **Approving Optometry Educational Programs.** In accordance with the Code of Alabama 1975 § 34-22-20, the board is responsible for choosing an accrediting agency to survey and approve all optometry educational programs in the state and ensuring that those programs meet the standards established by the board. The Alabama Board of Optometry recognizes the American Optometric Association Council of Optometric Education as the accrediting agency. The schools and colleges of optometry, accredited from time to time by the accrediting agency, are therefore recognized by the board. Periodically, the board will review the list of schools and colleges of optometry through investigations. Following the investigations, the board will either submit or withdraw approval.
- **Investigating Complaints or Violations.** The Code of Alabama 1975 § 34-22-6 and § 34-22-8 authorizes the board to conduct investigations, hearings, and proceedings concerning alleged violations of its rules and regulations. Depending on the findings following investigation, the board may dismiss the case, make an informal disposition, or conduct a formal disciplinary proceeding. In the event that a disciplinary proceeding is needed, the board conducts the hearing in accordance with the rules established under the Alabama Administrative Procedures Act. As a result of the hearing, the board may reprimand the licensee, place the licensee on probation, or suspend/revoke the license.
- **Administering Internal Operations.** A significant portion of the board's work includes general administrative, financial, and personnel activities performed to support its programmatic areas including:

Managing the Agency: Activities involved in managing the agency include general administration such as corresponding/communicating, meeting, and directing; representing the agency; lobbying on behalf of the agency; reporting; publicizing; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances include the following: budgeting, which encompasses preparing and reviewing a budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget, and reporting in established budget status categories to the Department of Finance; purchasing, which encompasses requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received; accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting the Examiners of Public Accounts in the audit process.

Managing Human Resources: Activities involved in managing human resources include the following: recruiting and hiring eligible individuals to fill vacant positions

within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits, and administratively supported but employee-funded benefits such as additional life and health insurance and tax-deferral and savings plans; and supervising employees, which includes hiring, promoting, demoting, evaluating performance, granting leave, and monitoring the accumulation of leave.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the Office of State Auditor; leasing/renting offices if the agency does not own their office space; and securing and maintaining state property in the care of the agency, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama Board of Optometry

Agency Record Keeping System

The Alabama Board of Optometry currently operates a record keeping system composed of paper-based record keeping and a computer system.

Paper-based Systems: Most of the board's records are maintained in paper form and stored on-site.

Computer Systems: The board currently has an IBM desktop computer that operates Windows 95 and utilizes Microsoft Access, which is a database program. Databases are backed up on 3.5" floppy disks on a bi-monthly basis and stored on-site. The board has a web site at www.al-optometry.com. Information on the site includes optometry licensure renewal information, basic optometry law, Alabama Administrative Code (optometry section), application procedures, continuing education regulations, how to file complaints, and general board information. All information is also available in paper format.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Board of Optometry: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the board are discussed below:

- **Alabama Board of Optometry Licensure Files.** The board is responsible for examining and licensing applicants as optometrists. These files serve as evidence of the scope of a licensee's professional practice in this state. A typical licensure file documents the licensee's professional career in Alabama and may contain a completed application form, examination records, copies of diplomas and transcripts, and evidence of continuing education.
- **Transitory Records.** These are records created for short-term, internal purposes, as opposed to those that document the program functions of an agency or perpetuate knowledge. These records are not filed or appropriate for filing because they serve no documentary purpose, such as setting policies, establishing guidelines, etc. Transitory records might include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about department social activities, such as a note to a group going to lunch.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulations

- **Meeting Minutes of the Board.** The board is obligated to hold a minimum of one regular meeting each year. Information in meeting minutes may include a review and approval of optometry educational programs, reports from the board's officers and various internal committees/task forces, actions of the board on applicants, and disciplinary actions. The minutes of these meetings are necessary to document the actions of the board and its members. The board has transferred its minutes created from 1947-1984 and 1988-1998 to the Archives. **(Bibliographic Title: Meeting Minutes)**
- **Informational Publications.** These publications document the board's efforts in communicating with the public regarding optometry education and practice, licensure procedures, and other board related services. Publications include, but are not limited to, *The Optometry Practices Act*, the Administrative Code, and the *Alabama Board of Optometry Newsletter*. **(Bibliographic Title: Informational Publications)**

Licensing

- **Registers of Licensees.** The Code of Alabama 1975, Section 34-22-42 (8) mandates the board to keep a register of all licensees. The register of licensees is maintained in bound volumes and covers the period from 1920 to present. Information available in the register may include name, race, address, continuing education, application information, and licensure data. **(Bibliographic Title: Registers of Licensees)**
- **Annual Roster of Optometrists.** These records are generated annually from the Alabama Board of Optometry licensure database. This series is necessary to document information such as who is licensed in Alabama as well as statistical data. **(Bibliographic Title: Annual Rosters)**
- **Licensure Examination Questions.** The board creates questions to be used in the examination of the optometry licensure candidates. This series is necessary in documenting the change in focus of testing for licensure over time. **(Bibliographic Title: Exams and Answers for State Licensure)**

Approving Optometry Educational Programs

- **Optometry Educational Program Approval Files.** The board prescribes standards and approves curricula for optometry educational programs. This series documents essential data on all optometry educational programs from initial approval until closure and provides valuable information on the education required for license as an optometrist. These records document the basic concerns and education required for licensure as an optometrist. **(Bibliographic Title: Approval Files for Educational Programs)**

Investigating Complaints or Violations

Records documenting this subfunction are found in the Meeting Minutes of the Board listed under the Promulgating Rules and Regulations subfunction.

Administering Internal Operations

- **Annual Reports.** In compliance with the Code of Alabama 1975 § 34-22-41(f), the board prepares an annual report to the governor. Contents of the annual report may include names of the board members and the board staff, annual goals and objectives, operational reports, statistical report of optometrist population and optometry education, and statements of fund operation. Annual reports provide the best summary documentation of the board's function and activities. **(Bibliographic Title: Annual Reports)**
- **Administrative Correspondence.** These records include correspondence with state officials, legal opinions, correspondence documenting insurance coverage, correspondence between the board and the director and correspondence between the Board of Optometry and other state agencies. Because the records document the policies and procedures of the board and how the board interacts with other agencies/ boards, the records are deemed permanent. **(Bibliographic Title: Administrative Correspondence)**

Permanent Records List

Alabama Board of Optometry

Promulgating Rules and Regulations

1. Meeting Minutes of the Board
2. Informational Publications

Licensing

1. Registers of Licensees
2. Annual Roster of Optometrists
3. Licensure Examination Questions

Approving Optometry Educational Programs

1. Optometry Educational Program Approval Files*

Administering Office Operations:

1. Annual Reports
2. Administrative Correspondence

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Alabama Board of Optometry Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the staff of the Alabama Board of Optometry. The RDA lists records created and maintained by the Alabama Board of Optometry in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for Alabama Board of Optometry to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under the Code of Alabama 1975 § 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Board of Optometry's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and

have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Board of Optometry and lists the groups of records created and/or maintained by the commission as a result of activities and transactions performed in carrying out these subfunctions. The board may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Promulgating Rules and Regulations

MEETING MINUTES OF THE BOARD

Disposition: PERMANENT RECORD.

INFORMATIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

Licensing

REGISTER OF LICENSEES

Disposition: PERMANENT RECORD.

Temporary License Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the license is expired.

Alabama Board of Optometry Licensure Files

Disposition: Temporary Record. Retain for 25 years after the end of the fiscal year in which the licensee becomes inactive.

Alabama Board of Optometry Licensure Database

Disposition: Temporary Record. Retain for useful life.

ANNUAL ROSTER OF OPTOMETRISTS

Disposition: PERMANENT RECORD.

Voided Licenses

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Alabama Board of Optometry License Renewal Files

Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the records were created.

Alabama Board of Optometry Licensure Examinations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

LICENSURE EXAMINATION QUESTIONS

Disposition: PERMANENT RECORD.

Incomplete Applicant Examination Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Approved Continuing Education Program Provider Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the course is no longer effective.

Approving Optometry Educational Programs**OPTOMETRY EDUCATIONAL PROGRAM APPROVAL FILES**

Disposition: PERMANENT RECORD.

Investigating Complaints or Violations**Complaint Files**

Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the licensee becomes inactive.

Complaint Files Not Resulting in Formal Disciplinary Actions

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Probationary Files

Disposition: Temporary Record. Retain 5 years after end of the fiscal year in which the probationary period was completed.

Probationary Summary Sheets

Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the licensee becomes inactive.

Administering Internal Operations: Managing the Agency**ANNUAL REPORTS**

Disposition: PERMANENT RECORD.

ADMINISTRATIVE CORRESPONDENCE

Disposition: PERMANENT RECORD.

Board Member Files

Disposition: Temporary Record. Retain 5 years after the end of the term.

Routine Correspondence/Memoranda

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's RDA (copies of transmittal forms to Archives or State Records Center, destruction notices, annual reports to ADAH)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of Approved RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA was superseded.

Computer systems documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Finances

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the state treasury, including bank statements, deposit slips, cancelled checks, etc.

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$7500

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Human Resources

Job Recruitment Materials

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after end of year in which the records were created.

Records documenting the administration of the unemployment compensation program

Disposition: Temporary Record. Retain 5 years.

Records documenting the worker's compensation program

Disposition: Temporary Record. Retain 12 years.

Records documenting an employee's work history, generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Administering Internal Operations: Managing Properties, Facilities, and Resources

SEMIANNUAL INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain for 6 years after the termination of the lease or rental agreement.

Housekeeping and Maintenance Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the policy is superseded.

Approval of Records Disposition Authority (RDA)

By signing this agreement, the Alabama Board of Optometry acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Alabama Board of Optometry will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the commission, for coordinating the transfer and destruction of records, for ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, for submitting an annual report on records management activities to the State Records Commission in April of each year, and for ensuring the regular implementation of the commission's approved RDA.
- Permanent records in the Alabama Board of Optometry's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The board should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Alabama Board of Optometry agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the board and to inspect records destruction documentation. Government Records Division archivists are available to train the board staff in RDA implementation and otherwise assist the board in implementing its records management program.

The State Records Commission adopted this revision to the Records Disposition Authority on April 26, 2001.

Edwin C. Bridges, Chairman
State Records Commission

Date

Receipt acknowledged:

Robert Pharr, Executive Officer
Alabama Board of Optometry

Date